



Letter \$
#3

CERTIFICATE OF MAILING
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

June 1, 1998

Date

Teresa J. Bowles

Teresa J. Bowles

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michel Armand, John B. Goodenough,
Akshaya K. Padhi, K.S. Nanjundaswamy
and Christian Masquelier

Group Art Unit: 1741

Examiner: Unknown

Serial No.: 08/998,264

Atty. Dkt. No.: UTSB:646/BOW

Filed: December 24, 1997

For: CATHODE MATERIALS FOR
SECONDARY (RECHARGEABLE)
LITHIUM BATTERIES

RESPONSE TO 37 C.F.R. § 1.53(d) NOTICE

BOX MISSING PART

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(d), dated April 1, 1998, there are enclosed herewith:

- (a) Declaration executed on behalf of Michel Armand, John B. Goodenough, Akshaya K. Padhi, Kirakodu S. Nanjundaswamy and Christian Masquelier;
- (b) A Power of Attorney on behalf of Board of Regents, The University of Texas System;

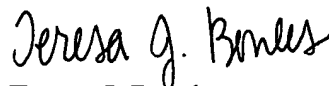
- (c) A Declaration Claiming Small Entity Status executed on behalf of Board of Regents, The University of Texas System;
- (d) A Request for a Complete Filing Receipt;
- (e) Our check in the amount of \$1,157.00 to cover the basic filing fee (\$395 - utility small entity) ; surcharge for late filing (\$65.00); and additional claims fee (\$697.00); and
- (f) A copy of Notice to File Missing Parts of Application-Filing Date Granted.

An Assignment to Board of Regents, The University of Texas System and a check for \$40.00 are being filed under separate cover.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Arnold, White & Durkee Deposit Account No. 01-2508/UTSB:646/BOW.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

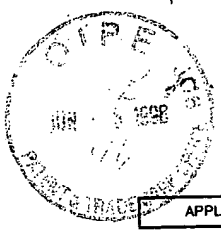
Respectfully submitted,



Teresa J. Bowles
Reg. No. 40,526
Attorney for Applicant

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210-4433
(512) 418-3000

Date: June 1, 1998



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
084998,264	12/24/97	ARMAND	N LITSB:646

ARNOLD WHITE & DURKEE
P.O. BOX 4433
HOUSTON TX 77210-2198

0222/0401

-NOT ASSIGNED

1741

DATE MAILED: 04/01/98

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 2,314.

- ☒ 1. The statutory basic filing fee is:
- ☒ missing.
 - ☐ insufficient.
- Applicant must submit \$ 790 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- ☒ 2. Additional claim fees of \$ 1,394, including any multiple dependent claim fees, are required.
- \$ 492 for 6 independent claims over 3.
- \$ 902 for 41 dependent claims over 20.
- \$ _____ for multiple dependent claim surcharge.
- Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:
- ☒ is missing or unexecuted.
 - ☐ does not cover the newly submitted items.
 - ☐ does not identify the application to which it applies.
 - ☐ does not include the city and state or foreign country of applicant's residence.
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☒ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

06/09/1998 Your filing was returned in error because your check was returned without payment.

- ☐ 8. The application does not comply with the Sequence Rules.

01 FC:205 See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

02 FC:201 395.00 UP

03 FC:202 246.00 UP

04 FC:203 451.00 UP

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#4

CERTIFICATE OF MAILING 37 C.F.R 1.8	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below	
June 1, 1998 Date	<i>Teresa J. Bowles</i> Teresa J. Bowles

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michel Armand, John B. Goodenough,
Akshaya K. Padhi, K.S. Nanjundaswaym
and Christian Masquelier

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Examiner: Unknown

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Atty. Dkt. No.: UTSB:646/BOW

Filed: December 24, 1997

For: CATHODE MATERIALS FOR
SECONDARY (RECHARGEABLE)
LITHIUM BATTERIES

REQUEST FOR COMPLETE FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

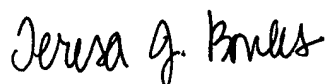
Sir:

A complete filing receipt is hereby requested in view of the fact that the inventors' addresses do not appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the omissions have been noted in red.

Because the omissions are not due to any error by Applicants, no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Commissioner is hereby authorized to deduct said fee from Arnold, White & Durkee Deposit Account No. 01-2508/UTSB:646/BOW.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



Teresa J. Bowles
Reg. No. 40,526
Attorney for Applicants

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210-4433
(512) 418-3000

Date: June 1, 1998

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/998,264	12/24/97	1741	\$0.00	UTSB:646	15	61	9

ARNOLD WHITE & DURKEE
P O BOX 4433
HOUSTON TX 77210-2198

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

Montreal, Canada *Austin, TX* *La Salle, IL*
MICHEL ARMAND, JOHN B. GOODENOUGH, AKSHAYA K. PADHI,
K. S. NANJUNDASWAMY, CHRISTIAN MASQUELIER
Ambler, PA *Boulogne, France*

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CIP OF 08/840,523 04/21/97

FOREIGN FILING LICENSE GRANTED 04/01/98

TITLE

CATHODE MATERIALS FOR SECONDARY (RECHARGEABLE) LITHIUM BATTERIES

PRELIMINARY CLASS: 429

STATUS INQUIRY
O. G. List

REC'D - A.W.D.

APR 06 1998

DOCKET DESK